FORM PTO/SB/08A/B (10-01) Substitute for PTO-1449A/B



INFORMATION DISCLOSURE

STATEMENT BY APPLICANT

(use as many sheets as necessary)

Attorney Docket Number	41994/JWP/C766
Application Number	09/895,791
Filing Date	June 29, 2001
Applicant(s)	Richard C. Flagan, et al.
Group Art Unit	1762 REO
Examiner Name	to be assigned

				7 2 3 2002
		<u> </u>	U.S. PATENT DOCUMENTS	1C 1202
EXAMINER INITIALS	Cite No.1	DOCUMENT NUMBER Number - kind code ² - (If known)	PUBLICATION DATE MM-DD-YYYY	NAME OF PATENTEE
1213		6,090,666	07-18-2000	Ueda et al.
,				

		FOREI	GN PATENT DO	CUMENTS	
EXAMINER INITIALS	Cite No. ¹	Foreign Patent Document Country Code ³ - Number ⁴ - Kind Code ⁵ (If known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	T ⁶
11/3		JP 11 111867	04-23-1999	Sharp Corp	X

	OTHER DOCUMENTS							
EXAMINER Cite Include name of the author (in CAPITAL LETTERS), title of the article, title INITIALS No. symposium, catalog, etc.), date, page(s), volume-issue number(s), publish			Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.					
PCT International Search Report dated March 1, 2002 from corresponding application No. PCT/US01/20829 filed June 29, 2001		PCT International Search Report dated March 1, 2002 from corresponding PCT application No. PCT/US01/20829 filed June 29, 2001						
-			PCT International Search Report dated March 1, 2002 from PCT application No. PCT/US01/20827 filed June 29, 2001					
		BINNIG, G. et al.; Atomic Force Microscope; Physical Review Letters; March 3, 1986; Volume 56, Number 9; pp. 930-933						
	BRUST, Mathias et al.; Synthesis of Thiol-derivatised Gold Nanoparticles in a Two-phase Liquid-Liquid System; J. Chem. Soc., Chem. Commun., 1994; pp. 801-802		BRUST, Mathias et al.; Synthesis of Thiol-derivatised Gold Nanoparticles in a Two- phase Liquid-Liquid System; J. Chem. Soc., Chem. Commun., 1994; pp. 801-802					
CAMATA, Renato P. et al.; Size classification of silicon nanocrystals; Appl. Phys. Let American Institute of Physics; May 27, 1996; Volume 68, No. 22; pp. 3162-3164		CAMATA, Renato P. et al.; Size classification of silicon nanocrystals; Appl. Phys. Lett., American Institute of Physics; May 27, 1996; Volume 68, No. 22; pp. 3162-3164						
DUTTA, Amit et al.; Electron Transport in Nanocrystalline Si Based Single Electron Transistors; Jpn. J. Appl. Phys.; July 2000; Vol. 39; pp. 4647-4650								

EXAMINER SIGNATURE	Restand	T Z/	N	DATE CONSIDERED	5/	19	103
	1 2	7				,	

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English Language Translation is attached.

IPE	_	
FORM PTO/SB/08A/B (10-01) Substitute for PTO-1449A/B	Attorney Docket Number	41994/JWP/C766
APR 19	Application Number	09/895,791
INFORMATION DISCUSURED	Filing Date	June 29, 2001
STATEMENT BY APPLICANT	Applicant(s)	Richard C. Flagan, et al.
	Group Art Unit	1762
(use as many sheets as necessary)	Examiner Name	to be assigned

	OTHER DOCUMENTS						
EXAMINER INITIALS	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. DUTTA, Amit et al.; Fabrication and Electrical Characteristics of Single Electron Tunneling Devices Based on Si Quantum Dots Prepared by Plasma Processing; Jpn. J.					
1/1/		Appl. Phys.; June 1997; Vol. 36; pp 4038-4041					
	/	DUTTA, Amit et al.; Single Electron Memory Devices Based on Silicon Nanocrystals Fabricated by Very High Frequency Plasma Deposition; Extended Abstracts of the 1999 / International Conference on Solid State Devices and Materials; 1999; pp. 76-77					
	/	FLAGAN, Richard C. et al.; Fundamentals of Air Pollution Engineering; 1988; Prentice Hall, Inc.: New Jersey; Chapter 5 Aerosols, pp. 290-357					
		FLAGAN, Richard C., et al.; Particle structure control in nanoparticle synthesis from the vapor phase; Materials Science & Engineering; 1995; pp. 113-124					
	V	GUO, Lingjie et al.; A Silicon Single-electron Transistor Memory Operating at Room Temperature; Science; January 31, 1997; Vol. 275; pp. 649-651					
		HAMAKER, H.C.; The London - Van Der Waals Attraction Between Spherical Particles; Physica IV, November 23, 1937; No. 10; pp. 1058-1072					
(HANAFI, Hussein I. et al.; Fast and Long Retention-Time Nano-Crystal Memory; IEEE Transactions on Electron Devices; September 1996; Volume 45, No. 9; pp. 1553-1558					
	~	JOHNSON, K.L. et al.; Surface energy and the contact of elastic solids; Proc. R. Soc. Lond. A.; 1971; Vol. 324; pp. 301-313					
	\[\]	JUNNO, T. et al.; Controlled manipulation of nanoparticles with an atomic force microscope; Appl. Physl. Lett, American Institute of Physics; June 26, 1995; Vol. 66, No. – 26; pp. 3627-3629					
	~	KANEMITSU, Yoshihiko; Excitons in silicon quantum structures; Journal of Luminescence 83-84; 1999; pp. 283-290					
KB	/	LAI, S.K. et al.; Design of an E ² Prom Memory Cell Less Than 100 Square Microns Using 1 Micron Technology; IEDM; 1984; pp. 468-471					
		LEFF, Daniel V. et al.; Thermodynamic Control of Gold Nanocrystal Size: Experiment					
EXAMINER SIGNATURE		Muhan Ar DATE CONSIDERED 5/19/03					
EXAMINER	EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in						

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English Language Translation is attached.

IPE	
FORM PTO/SB/08A/B (10-01) Substitute for PTO-1449A/B	Attorney Doc
APR 1 9 ZUUZ NO	Application Nu
INFORMATION DESCLOSURE	Filing Date
STATEMENT BY APPLICANT	Applicant(s)
	Group Art Unit
(use as many sheets as necessary)	

Attorney Docket Number	41994/JWP/C766			
Application Number	09/895,791			
Filing Date	June 29, 2001			
Applicant(s)	Richard C. Flagan et al.			
Group Art Unit	1762			
Examiner Name	to be assign			

		OTHER DOCUMENTS
EXAMINER INITIALS	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. and Theory; J. Phys. Chem; 1995; vol. 99; pp. 7036-7041
	V	LITTAU, K.A. et al.; A Luminescent Silicon Nanocyrstal Colloid via a High-Temperature Aerosol Reaction; 1993; Vol. 97; pp. 1224-1230; J. Phys. Chem
	\	MARTIN, Yves et al.; <i>High-resolution capacitance measurement and potentiometry by force microscopy</i> ; Appl. Phys. Lett, American Institute of Physics; March 28, 1988; Vol. – 52, No. 13; pp. 1103-1105
	>	MURRAY, C.B. et al.; Synthesis and Characterization of Nearly Monodisperse CdE (E=S, Se, Te) Semiconductor Nanocrystallites; J. Am. Chem. Soc. 1993; Vol. 115, pp. 8706-8715-
		OSTRAAT, Michele L. et al.; Ultraclean Two-Stage Aerosol Reactor for Production of Oxide-Passivated Silicon Nanoparticles for Novel Memory Devices; Journal of The Electrochemical Society; 2001; Vol. 148, No. 5; pp. G265-G270
	✓	OTOBE, Masanori et al.; Observation of the single electron charging effect in nanocrystalline silicon at room temperature using atomic force microscopy; Applied Physics Letters, American Institute of Physics; March 2, 1998; Vol. 72, No. 9; pp. 1089- 1091
	V	RAMACHANDRAN, T.R. et al.; Direct and controlled manipulation of nanometer-sized particles using the non-contact atomic force microscope; Nanotechnology; 1998; Vol. 9; pp237-245
	/	SCHAADT, D.M. et al.; Charge storage in Co nanoclusters embedded in SiO ₂ by scanning force microscopy; Applied Physics Letters, American Institute of Physics; January 18, 1999; Vol. 74, No. 3; pp. 472-474
	1	TIWARI, Sandip et al.; A silicon nanocrystals based memory; Appl. Phys. Lett., American. Institute of Physics; March 4, 1996; Vol. 68, No. 10; pp. 1377-1379
AB	V	TIWARI, Sandip et al.; Single charge and confinement effects in nano-crystal memories; Appl. Phys. Lett., American Institute of Physics; August 26, 1996; Vol. 69, No. 9; pp. 1232-1234

		Λ	//						
EXAMINER SIGNATURE	1/4	ban	A	5	DATE CONSIDERED	5/	119	163	
						,			

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. ¹Applicant's unique citation designation number (optional). ²See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. ³Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). ⁴For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English Language Translation is attached.

FORM PTO/SB/08A/B (10-01) Substitute for PTO-1449A/B	Attorney Docket Number	41994/JWP/C766
(APR 1 9 2002 15)	Application Number	09/895,791
INFORMATION EXSCLOSURE	Filing Date	June 29, 2001
STATEMENT BY APPLICANT	Applicant(s)	Richard C. Flagan et al.
(Group Art Unit	1762
(use as many sheets as necessary)	Examiner Name	to be assigned

OTHER DOCUMENTS		
EXAMINER INITIALS	Cite No.1	Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.
1/13	V	TIWARI, Sandip et al.; Volatile and Non-Volatile Memories in Silicon with Nano-Crystal Storage; IEEE; 1995; pp. 20.4. 1-20.4.4
	Ì	WU, Jin Jwang et al.; A Method for the Synthesis of Submicron Particles; Langmuir; 1987; Vol. 3, pp. 266-271
	1	YANO, Kazuo et al.; Room Temperature Single-Electron Memory; IEEE Transactions on Electron Devices; September 1994; Vol. 41, No. 9; pp. 1628-1638
		ZHANG, Shou-Hua et al.; <i>Radial Differential Mobility Analyzer</i> ; Aerosol Science and Technology; 1995; Vol. 23; pp. 357-372
	V	ZHANG, Shou-Hua et. al.; Resolution of the Radial Differential Mobility Analyzer for Ultrafine Particles; J. Aerosol Sci.; 1996; Vol. 27, No. 8; pp. 1179-1200
AR,	\	ZHONG, Q. et al.; Fractured polymer/silica fiber surface studied by tapping mode atomic force microscopy; Surface Science Letters; 1993; Vol. 290; pp. L688-L692
EXAMINER SIGNATURE DATE CONSIDERED 5/19/03		

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. Applicant's unique citation designation number (optional). See Kinds Codes of USPTO Patent Documents at www.pto.gov or MPEP 901.4. Enter Office that issued the document, by the two-letter code (WIPO standard ST.3). For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. Applicant is to place a check mark here if English Language Translation is attached.

Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

JWP/daa

DAA PAS427918.1-*-4/15/02 10:38 AM